

**TRANSMITTAL**

Electronic Version v1.1

Stylesheet Version v1.1.0

**Title of  
Invention****METHOD AND STRUCTURE FOR VERTICAL DRAM DEVICES WITH  
SELF-ALIGNED UPPER TRENCH SHAPING**

Application Number :

Date :

First Named Applicant: Kangguo Cheng

Confirmation Number:

Attorney Docket Number: FIS920030163US1

I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.

I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.

Submitted By:	Elec. Sign.	Sign. Capacity
JAMES J. CIOFFI Registered Number: 51,564	James J. Cioffi/ s /	Attorney

Documents being submitted:	Files
us-ids	FIS920030163US1-usidst.xml us-ids.dtd us-ids.xsl
us-assignment	FIS920030163US1-usassn.xml us-assignment.xsl us-assignment.dtd FIS92030163assign1of2.tif fis920030163us1assign2of2.tif
us-request	FIS920030163US1-usrequ.xml us-request.dtd us-request.xsl
us-fee-sheet	FIS920030163US1-usfees.xml us-fee-sheet.xsl us-fee-sheet.dtd
us-declaration application-body	fis920030163us1dec3of4.tif FIS92030163-trans.xml us-application-body.xsl application-body.dtd wipo.ent mathml2.dtd mathml2-qname-1.mod isoamsa.ent isoamsb.ent isoamsc.ent isoamsn.ent isoamso.ent isoamsr.ent isogr3.ent isomfrk.ent isomopf.ent isomscr.ent isotech.ent isobox.ent isocy1.ent isocy2.ent isodia.ent isolat1.ent isolat2.ent isonum.ent isopub.ent mmlextra.ent mmlalias.ent soextblx.dtd FIS92030163Drw1.tif FIS92030163Drw2.tif FIS92030163Drw3.tif FIS92030163Drw4.tif FIS92030163Drw5.tif FIS92030163Drw6.tif

us-declaration  
us-declaration  
us-declaration

FIS92030163Drw7.tif  
FIS920030163Declaration49.tif  
FIS920030163Declaration27.tif  
FIS920030163Declaration16.tif

**Comments**

Assignee Name: International Business Machines Corporation Assignee Address: Armonk, NY 10504